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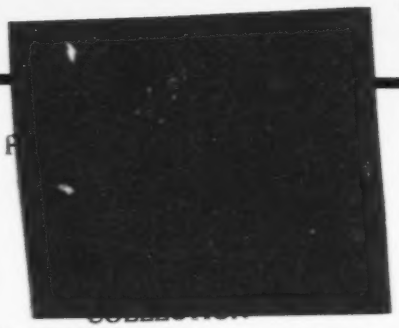

STRATEGIC MANAGEMENT AND PROGRAMME QUESTIONS

STRATEGIC MANAGEMENT BY THE COMMISSION ON CRIME PREVENTION AND CRIMINAL JUSTICE OF THE UNITED NATIONS CRIME PREVENTION AND CRIMINAL JUSTICE PROGRAMME

Report of the Secretary-General

CONTENTS

		Paragraphs	*Page*
INTRODUCTION		1	2
I.	INTER-SESSIONAL ACTIVITIES OF THE COMMISSION	2-12	2
	A. Informal Consultative Group on Resource Mobilization	2-8	2
	B. Inter-sessional meetings	9-11	3
	C. Proposals for draft resolutions	12	4
II.	INTER-SESSIONAL ACTIVITIES OF THE SECRETARIAT	13-63	4
	A. Preparations for the sixth session of the Commission	13-22	4
	B. Planning and programming	23-29	6

*E/CN.15/1997/1.

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	Paragraphs	Page
C. Proposals for measurement of the impact of the activities of the Programme	30-42	7
D. Proposals for maximizing the existing resource potential of the Programme	43-59	9
E. Internal management	60-63	13
III. ACTION REQUIRED BY THE COMMISSION	64	14
Annex. Evaluation Questionnaire		15

INTRODUCTION

1. In the context of the ongoing discussion on the strategic management of the United Nations Crime Prevention and Criminal Justice Programme by the Commission on Crime Prevention and Criminal Justice and the implementation of the relevant resolutions, the present report provides a brief overview of the inter-sessional activities undertaken by the Commission to strengthen its strategic management of the Programme, as called for in Commission resolution 5/3. The report also responds to the requests to the Secretary-General contained in resolution 5/3. In paragraph 12 of that resolution the Commission requested the Secretary-General to elaborate concrete proposals for measurement of the impact of the activities of the United Nations Crime Prevention and Criminal Justice Programme. In paragraph 13, the Commission requested the Secretary-General to elaborate concrete proposals on maximizing the existing resource potential of the Programme. A report to the Commission at its sixth session was requested for both sets of proposals. The present report also describes the inter-sessional activities of the Secretariat relating to the strategic management of the Programme.

I. INTER-SESSIONAL ACTIVITIES OF THE COMMISSION

A. Informal consultative group on resource mobilization

2. In 1991, the General Assembly decided to strengthen the United Nations Crime Prevention and Criminal Justice Programme to respond better to the threats and challenges posed by the growth of crime throughout the world.[1] The strengthened Programme was specifically charged with providing technical cooperation and advisory services. The General Assembly has regularly reiterated the importance of this function of the programme, most recently in its resolution 51/63 of 12 December 1996 (para. 7). That resolution reaffirmed the priority of the Programme (para. 3), requested the Secretary-General to strengthen it further by providing it with the resources necessary for the full implementation of its mandate (para. 6), called upon States and United Nations and other international, regional and national funding agencies to make significant financial contributions for operational activities of the Programme, and encouraged all States to make voluntary contributions for that purpose to the United Nations Crime Prevention and Criminal Justice Fund.

3. The Commission on Crime Prevention and Criminal Justice, in paragraph 10 of its resolution 5/3, decided to exercise more vigorously its mandated functions of resource mobilization and, for that purpose, to establish an informal consultative group, which would report annually on activities undertaken and results achieved.

4. On 5 July 1996, an organizational meeting for the establishment of an informal consultative group on resource mobilization for the Crime Prevention and Criminal Justice Programme was convened in Vienna, in response to paragraph 10 of resolution 5/3. The Meeting agreed that the Chairperson of the informal consultative

group would be elected on annually. The Chairperson's functions should include cooperation with the Secretariat in the preparations of the group and follow-up to its recommendations, stimulating and increasing interest for specific initiatives and projects, including the necessary funding, and reporting to the Commission on the discussions and main outcome of the work of the group. The Meeting elected Ferdinand Mayrhofer-Grünbühel (Austria) as Chairperson of the informal consultative group.

5. The informal consultative group on resource mobilization met on 28 October, 4 November and 10 December 1996.

6. On the basis of a set of background documents and a compendium of summarized project proposals the informal consultative group stressed the importance of crime prevention and criminal justice in development, analysed the role of the United Nations Crime Prevention and Criminal Justice Programme, its comparative advantages and potential, and recommended specific modalities of resource mobilization, after having reviewed national policies and practices relating to development-assistance funding. Drawing on the summaries contained in the compendium, the group approved the way in which the projects had been prepared and presented. Most importantly, the group agreed on the need for Member States to take a more active role in resource mobilization, with the informal consultative group serving as a facilitator for funding the projects presented by the Secretariat.

7. The informal consultative group also addressed the issue of its mandate, in particular the relationship between paragraph 10 of Commission resolution 5/3 and paragraph 15 of resolution 5/2, requesting the Secretary-General to explore with Member States the establishment of a mechanism for resource mobilization and coordination of activities in the area of technical assistance. At the Organizational Meeting, the Director-General of the United Nations Office at Vienna was asked to seek the views of the Chairpersons of the Regional Groups regarding the implementation of these mandates, including whether the informal consultative group on resource mobilization might also serve as the mechanism envisaged in paragraph 15 of resolution 5/2. The views expressed during those consultations were unanimously in favour on the latter question.[2] The group also considered enlarging its membership of the group to include the Chairpersons of the Regional Groups.

8. The informal consultative group discussed a number of additional proposals for consideration by the Commission, the full text of which is contained in the report on activities undertaken and results achieved by the informal consultative group on resource mobilization, prepared by the Chairperson of the group, Mr. Mayrhofer-Grünbühel (E/CN.15/1997/CRP.1).

B. Inter-sessional meetings

9. In the spirit of paragraph 4 of Commission resolution 5/3 and continuing its recent practice, the bureau of the Commission held three inter-sessional meetings to discuss programme-management questions with Secretariat representatives. It also conducted three inter-sessional consultation meetings for permanent missions in Vienna.

10. In accordance with paragraph 9 of resolution 5/3, the bureau had informal discussions with the bureau of the Commission on Narcotic Drugs to explore the possibility of holding joint inter-sessional meetings in order to improve coordination of the work of the two commissions.

11. Details on all these meetings are contained in the report of the bureau of the Commission at its fifth session on the inter-sessional consultations held in 1996 and 1997 (E/CN.15/1997/CRP.2).

C. Proposals for draft resolutions

12. In paragraph 5 of its resolution 5/3, the Commission requested Member States to submit draft proposals to the bureau, together with the information required in accordance with the annex to Commission resolution 4/3, one month prior to the commencement of the Commission's session. During the inter-sessional consultation meetings for permanent missions held on 7 November 1996 and 12 February 1997, as well as through an information circular issued on 10 January 1997, delegations were reminded of this deadline. Participants at the 7 November consultation meeting agreed that the intention to submit draft proposals should be indicated, together with the subjects of such proposals, by 31 January 1997, while the draft text of proposals should be submitted by 28 March 1997. As requested in paragraph 6 of resolution 5/3, the views of the bureau on whether the procedural requirements for the submission of draft proposals have been met are presented in its report on its inter-sessional work (E/CN.15/1997/CRP.2).

II. INTER-SESSIONAL ACTIVITIES OF THE SECRETARIAT

A. Preparations for the sixth session of the Commission

1. Commission resolution 5/3

13. By a note verbale of 12 September 1996, the Secretariat drew the attention of Governments to two operative paragraphs of Commission resolution 5/3. In paragraph 4 the Commission had recognized the importance of the contribution that its bureau could make in advancing the work of the United Nations Crime Prevention and Criminal Justice Programme, particularly by strengthening its strategic management, both during its sessions and in the inter-sessional periods. In paragraph 5 the Commission had requested Member States to submit draft proposals to the bureau, together with the information required in accordance with the annex to Commission resolution 4/3, one month prior to the commencement of the Commission's session.

14. Three States responded to the note verbale, namely Colombia, Lebanon and Qatar. Lebanon stated that it had no comment. With regard to paragraph 5 of resolution 5/3, Colombia indicated its interest in continuing to advance its project entitled "Platform for information exchange for justice and law of the Republic of Colombia". This is an integral part of the elements contained in Economic and Social Council resolution 1996/11 of 23 July 1996, entitled "International cooperation and assistance in the management of the criminal justice system: computerization of criminal justice operations and the development, analysis and policy use of crime and criminal justice information", and of the government programme for the modernization of the administration of justice.

15. In its communication, Qatar stressed the need for appropriate bilateral and multilateral attention to technical cooperation with and practical assistance to developing countries in combating crime. The Government also called for coordination of activities among the relevant functional commissions of the Economic and Social Council to avoid overlap and duplication. It also wished the Commission to consider an annual report on the activities of the United Nations Crime Prevention and Criminal Justice Programme and the problems encountered.

2. Documentation and streamlining of the agenda

16. In paragraph 11 of its resolution 5/3, the Commission decided to curtail and streamline its reporting requirements by normally not requesting more than one report per item of its agenda and one report per priority theme and by considering certain topics on a biennial basis. During the inter-sessional consultation meetings on 7 November 1996 and 12 February 1997, several delegations encouraged the Secretariat to write briefer

reports, combine them where possible and interpret reporting requirements on the basis of available information or material.

17. In paragraph 7 of resolution 5/3, the Commission stressed the importance, for effective strategic management of the Programme, of strict adherence to the six-week rule on documentation and urged Member States, as well as the Secretary-General, to cooperate fully in its implementation.

18. Following an unprecedented number of 45 reports and conference room papers prepared for the Commission's fifth session, the total for the sixth session is at least 24 documents. Efforts have been made to be briefer and non-repetitive. A few reports were combined. In these efforts, the Secretariat attempted to strike a reasonable balance between reducing the pressures of reporting requirements on time and resources and the need to document, disseminate and make widely accessible to the intended audience information on work undertaken and information received from Member States during the reporting period. The Secretariat will keep reporting procedures under review and adjust them further as additional experience is gained.

19. The documents prepared reflect the information available at the end of January 1997 in most cases, by which time more than 20 responses had been received to only 4 of the 21 notes verbales seeking information from Member States. Responses received after mid-February may not be included in the reports and will be conveyed to the Commission in a different way. Great efforts were made to respect the six-week rule, but this seems to be an elusive goal in the light of conflicting commitments, dwindling resources in the conference servicing area and the sheer volume of work in all areas. However, no effort was spared to ensure the availability of all documents in all languages for the opening of the session. The volume of documentation prepared still engaged more of the collective human resources of the Crime Prevention and Criminal Justice Division than would seem appropriate for a reasonable balance between parliamentary services and operational activities. Further improvement of this balance may not be achievable without a serious effort to streamline the agenda and, in effect, develop a cycle of work.

20. The agenda of the Commission has expanded in recent years to an extent that the time allotted to the discussion of substantive items is hardly adequate for an in-depth consideration of all relevant issues. Time pressures are further exacerbated at sessions during which the Commission has to devote its attention to its function as preparatory body for the quinquennial congresses. The expansion of agenda items has also led to a steady increase in documentation requirements. This has resulted in: (a) difficulties faced by Governments in providing the information, data and documentation required for the preparation of the respective reports; (b) strain on the limited resources available to the Secretariat, sometimes causing delays in the availability of documentation; (c) the inability of the Commission to give proper attention to all documents and carefully study the substantive issues covered therein.

21. In the light of the above, and drawing on the work already done by the Commission's bureau at its inter-sessional meetings, it is suggested that consideration be given to the following proposals:

(a) Reports on the use and application of standards and norms, which require the provision of information by Governments, should be submitted every two years, to permit input from as many Member States as possible;

(b) Reports on surveys and crime statistics, as well as reports based on continuing collection of information and data, should be submitted not more frequently than every two years;

(c) Reports on coordination with other entities should be submitted only every second year, preferably at the end of every programme budget biennium;

(d) Full reports and studies requiring a large volume of work in terms of research or dealing with a complex subject matter should not be submitted to the session immediately following the one at which the mandate is given;

(e) Consideration of, or reporting on, a substantive issue should be based on that issue having been significantly advanced in a given year through specific activities or developments.

22. The above proposals could streamline the agenda of the Commission and begin to define a cycle of work. Their overall purpose is to reduce the items on the agenda of any given session without detriment to the consideration of substantive issues or to the ability of the Commission to provide policy guidance, as well as to decrease the number of reports and documents.

B. Planning and programming

23. In paragraph 2 of its resolution 5/3, the Commission noted the reaffirmation in the previous report of the Secretary-General on strategic management (E/CN.15/1996/22) of the fundamental role of the medium-term plan and the regular budget of the United Nations as the framework for exercising the Commission's strategic management functions. The draft text of the medium-term plan for the period 1998-2001 covering programme 12 (Crime prevention and criminal justice), which was before the Commission at its fifth session (E/CN.15/1996/CRP.3), was adopted by the General Assembly (resolution 51/219 of 18 December 1996) with the minor amendments recommended by the Committee for Programme and Coordination at its thirty-sixth session.[3] It should be noted that crime prevention and criminal justice is identified by the General Assembly as one of eight priority programmes.

24. The programme objectives contained in the medium-term plan, as well as existing mandates, form the legislative basis for the draft programmes of work for the bienniums 1998-1999 and 2000-2001. The Secretary-General's proposals for section 14 - Crime control - of the programme budget for the biennium 1998-1999 are before the Commission in a note by the Secretary-General contained in document E/CN.15/1997/20.

25. As on previous occasions, the note by the Secretary-General deals only with the proposed programme of work for 1998-1999 and not the resources required to implement it. This procedure was followed in accordance with regulation 4.9 of the Regulations Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation (ST/SGB/PPBME Rules/1 (1987)). That regulation indicates that budgetary and administrative matters are considered by the Committee for Programme and Coordination, the Advisory Committee on Administrative and Budgetary Questions and the Fifth Committee of the General Assembly. However, in order to be able to exercise its strategic management function fully, the Commission may wish to take note of the broad resource issues related to the proposed programme of work for 1998-1999.

26. Within the framework of the Programme Budget Outline for 1998-1999, target figures were set for all budget sections. Every effort was made to define the 1998-1999 programme of work for section 14 - Crime control - within the limits of the financial target specified for it, taking into consideration the efficiency efforts initiated in 1996. The programme of work elaborated within the specified target covers all mandated recurrent activities, as well as recent new initiatives such as the draft convention on organized transnational crime and expanded work on bribery and corruption in pursuance of General Assembly resolutions 51/120 and 51/191. However, it will be necessary to allocate resources above the target figure to continue activities emanating from Economic and Social Council resolutions 1996/27 and 1996/28, for which additional appropriations of US$ 501,000 were authorized for 1997 by the General Assembly in its resolution 51/221A, and for the preparations for the Tenth United Nations Congress on the Prevention of Crime and the Treatment of Offenders.

27. The Commission's attention is also drawn to the inadequacy of the specified target amount for sectoral advisory services under section 21. The allocation barely covers the salaries for two interregional advisers (IRAs) and one general service staff member, leaving inadequate resources for travel by the IRAs, the implementation of the fellowship programme and group training activities, and the hiring of consultants to supplement the expertise of the IRAs in specific areas. As a result, it was not always possible to meet the rising expectations of Member States in this area.

28. The process of preparing the proposals for the next programme budget once again underscored the fundamental discrepancy between the Programme's mandates of ambitious scope and global aim and the minuscule proportions of its resources. This discrepancy severely limits the Programme's impact on crime prevention and criminal justice and calls into question the seriousness of Member States commitment in this area of the United Nations work. It also has a negative impact on dedicated staff members who, in a genuine effort to fulfil all mandates, have to spread themselves too thinly, are unable to stay in touch with their fields of expertise and find themselves in a spiral of constant deadlines and diminishing results.

29. After five years of guiding the Programme, the time may have come for the Commission to re-examine the Programme's fundamental objectives in relation to the envisaged ways and means of reaching them. The goal of such an assessment would be to achieve a greater degree of concurrence between Member States' expectations, programme responsibilities and resources available.

C. Proposals for measurement of the impact of the activities of the Programme

30. The Secretary-General's previous report on strategic management (E/CN.15/1996/22), submitted to the Commission at its fifth session, addressed the issue of the qualitative analysis of programme performance and noted the absence of a mechanism for systematic information on the qualitative aspects of programme performance among existing management tools. The report dealt briefly with the question of possible indicators of programme impact and drew attention to the all but insurmountable conceptual and methodological problems of impact analysis in terms of the number of crimes prevented or the relative success in national criminal justice administration as a result of the activities of the United Nations Crime Prevention and Criminal Justice Programme. It suggested, however, that indicators could be identified to determine the extent to which Member States benefit from specific activities of the Programme in their efforts to prevent crime and to carry out consistent and humane criminal justice. Indicators should be both informative and practical in the sense that they are related to specific-activity objectives, present no unacceptable data-collection obstacles and provide input for strategic management decisions. The utility of the individual evaluation will depend on the relevance of chosen indicators to specified objectives, as well as on the reliability of survey results.

1. Possible indicators

31. If there is agreement that programme impact may be assessed on the basis of the benefit to Member States of specific activities of the Programme, the concept of benefit needs to be defined. In the interest of practicality, it is proposed to define benefit in terms of perceived satisfaction with services provided to Member States upon request and the use and application by Member States of programme products. Services provided to Member States might include parliamentary services (congresses, Commission sessions, inter-sessional consultations, meetings of the informal consultative group on resource mobilization) and operational activities (advisory services, training courses, workshops and seminars). Products might include the standards and norms elaborated since the Programme's inception in 1946, publications, model laws, training materials and databases.

32. Each type of service or product has unique aspects whose assessment provides insight into the level of satisfaction achieved. Therefore, indicators and standards will vary in different contexts. They must follow from, and be directly related to, objectives. For each objective a number of indicators can be determined which

describe the expected results of the actions outlined in the objective. For instance, for parliamentary services timeliness and quality of documentation are relevant, whereas for participants in training courses it is the skills of the trainers and the relevance of the material offered to the specified needs or objectives that count.

2. Measurement tools and sources

33. Practical tools and sources for direct measurement of satisfaction with programme services and products are primarily surveys of recipients and users, such as Commission members, recipients of technical assistance, users of standards and norms, participants in training courses, conferences, workshops and seminars, and users of databases, publications and other information material. Indirect measures might include the enumeration of citations of programme activities or products in professional literature or the media.

34. Multiple combinations of services and products to be evaluated with measurement tools and sources are possible. Optimal combinations from the point of view of both effectiveness and efficiency will depend on evaluation objectives and resources available.

35. The *Evaluation Bulletin*[4] of the Central Evaluation Unit in the Department of Administration and Management of the United Nations suggests eight distinct but interrelated analytical tests by which project results may be compared with planned objectives through appropriate indicators. The tests address: (a) effectiveness, i.e. the extent to which the project has achieved its objectives; (b) efficiency, i.e. whether the expected project results justify the cost; (c) relevance, i.e. determination of the significance of the project; (d) continuing validity of project design; (e) unanticipated effects, both positive and negative; (f) identification of alternatives, i.e. whether there is, or could have been, a more effective or more efficient way to approach the problem addressed by the project; (g) causality, i.e. what forces affected the performance of the project; (h) sustainability, i.e. what the likelihood is that benefits will be sustained after the withdrawal of external support.

3. Current and forthcoming evaluation activities

36. Elements of programme impact evaluation as sketched out above already exist. Pursuant to Economic and Social Council resolution 1993/34, section III, the Secretariat conducted four surveys of Member States regarding the implementation of United Nations standards and norms in the field of crime prevention and criminal justice. The surveys related to the Standard Minimum Rules for the Treatment of Prisoners; the Code of Conduct for Law Enforcement Officials, together with the Basic Principles on the Use of Force and Firearms by Law Enforcement Officials; the Basic Principles on the Independence of the Judiciary; and the Declaration of Basic Principles of Justice for Victims of Crime and Abuse of Power. The surveys focused on the promotion of the application of existing United Nations standards and norms. However, they may also be analysed from the perspective of evaluating programme impact. At a very minimum, they illustrate an information-gathering process that could also be employed for impact-evaluation purposes. This process has been described and analysed in reports of the Secretary-General to the Commission at its fifth session.[5] The questionnaires used were reviewed by the Commission at its third session, in 1994.

37. It should also be recalled that the questionnaire on the use and application of United Nations standards and norms in juvenile justice was reviewed by the Commission at its fifth session, for a report to be considered at its seventh session.

38. For about two years, the Crime Prevention and Criminal Justice Division has been distributing a brief and variable evaluation questionnaire to participants in conferences, workshops and all training courses. It provides instant feedback on discrete events, but over time and collectively the responses to this questionnaire also make

a statement about programme impact. An example of the questionnaire is reproduced in the annex to the present report.

39. In the area of technical cooperation, review and evaluation components are included in all project proposals in accordance with the guidelines for project formulation elaborated by the United Nations Development Programme and followed by the Crime Prevention and Criminal Justice Division.[6] The evaluation modalities vary somewhat from project to project depending on the particular objectives, activities and circumstances. However, all project evaluations are geared to establishing the extent to which the specified objectives are met, as well as the project's impact.

40. As far as the overall evaluation of the United Nations Crime Prevention and Criminal Justice Programme is concerned, the periodic programme performance reports provide insight into the level of implementation of the mandated activities for a given period. The report for the biennium 1994-1995 is contained in document A/51/128 and Add.1. The reactions of Member States to reports and other documents prepared for intergovernmental bodies, for example the Commission, the Economic and Social Council and the General Assembly, and the action taken on their contents represent another form of programme evaluation.

41. In addition, the Director-General of the United Nations Office at Vienna was informed by the Under-Secretary-General for Internal Oversight Services in late January 1997 that an audit of the Crime Prevention and Criminal Justice Division is planned for this year. As pointed out in the Secretary-General's previous report on strategic management (E/CN.15/1996/22, para. 79), the Programme is also scheduled for self-evaluation during the biennium 1996-1997 according to the self-evaluation plan contained in the report of the Secretary-General on programme evaluation in the United Nations (A/47/116, annex). At the time of writing, no date for the former or guidelines for the latter were available.

42. In summary, a fairly comprehensive evaluation of the United Nations Crime Prevention and Criminal Justice Programme and its impact may be achieved over time through a variety of existing mechanisms and low-cost tools. The Commission may wish to consider whether, together, these mechanisms and tools can be expected to provide it with sufficient information about the Programme's utility and the level of satisfaction of Member States with its services and products.

D. Proposals for maximizing the existing resource potential of the Programme

43. The consideration of proposals on how to maximize the existing resource potential of the United Nations Crime Prevention and Criminal Justice Programme may benefit from a brief recapitulation of the relevant parts of the programme of action contained in the annex to General Assembly resolution 46/152 of 18 December 1991 on the creation of an effective United Nations crime prevention and criminal justice programme. The programme of action (para. 14) defines the Programme's general mandate as bringing together "the work of the [Commission on Crime Prevention and Criminal Justice], the United Nations institutes for the prevention of crime and the treatment of offenders, the network of Government-appointed national correspondents in the field of crime prevention and criminal justice, the Global Crime and Criminal Justice Information Network* and the United Nations congresses on the prevention of crime and the treatment of offenders in providing assistance to Member States in their efforts to reduce the incidence and costs of crime and in developing the proper functioning of their criminal justice systems".

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*Currently called the United Nations Crime and Criminal Justice Information Network.

44. The programme of action also states (para. 31) that "the secretariat of the programme shall be the permanent body responsible for facilitating the implementation of the programme", adding: "For that purpose, the secretariat shall:

"(a) Mobilize existing resources, including institutes, intergovernmental organizations, non-governmental organizations and other competent authorities for the implementation of the programme;

"(b) Coordinate research, training and the collection of data on crime and justice, and provide technical assistance and practical information for Member States, particularly through the Global Crime and Criminal Justice Information Network;

"(c) Assist the [Commission] in the organization of its work and in the preparations, in accordance with the directions of the [Commission], for the congresses and any other events relating to the programme;

"(d) Ensure that the potential donors of criminal justice assistance are put in touch with countries needing the help in question;

"(e) Make the case for assistance in the field of criminal justice to the appropriate funding agencies."

45. Theoretically, the Programme's resource potential should be defined in relation to its mandates as set out in General Assembly resolution 46/152 (annex) and numerous other General Assembly and Economic and Social Council resolutions adopted since. In other words, the resource potential is equal to the volume of resources required to implement fully the mandates specified by Member States. Realistically, the Programme's resource potential must be defined by the resources which Member States and other donors are willing and able to provide to the above programme components or mechanisms through assessed and voluntary contributions at a given point in time. Currently available resources and their sources were described in some detail in paragraphs 22-50 of the Secretary-General's previous report on strategic management (E/CN.15/1996/22), which was before the Commission at its fifth session, and are also referred to in section II. B above. The 1996-1997 resources available to the Programme from the regular budget of the United Nations are covered under section 13 of the programme budget for the biennium (A/50/6/Rev.1). They are widely considered inadequate to meet programme requirements if existing mandates are to be taken seriously.

46. The strategy for maximizing the Programme's resource potential has to be based on the desire to align mandates and resource requirements in a reasonable manner. In a global climate of fiscal constraints and with the existing constellation of legislative and programme mechanisms, the options for achieving this goal appear to be rather limited. Options which come to mind readily fall into two categories, namely changes in the use of existing resources and generation of additional resources.

1. Changes in the use of existing resources

47. Possible changes in the use of the Programme's existing resources must begin with questions about the efficient and effective use of those resources. The programme mechanisms, and above all the programme secretariat - the Crime Prevention and Criminal Justice Division - must ensure that available resources are utilized in the most efficient and effective manner possible. In doing so, particular attention should be paid to optimal coordination and cooperation among the different programme components to avoid overlap and duplication and maximize relative strengths. It must be remembered, however, that effective coordination requires its own resources to ensure the necessary regular consultations and information exchange.

48. Programme mandates should be implemented by the programme component(s) best equipped to do so, and able to do so most inexpensively. In this connection, the Secretariat should also ensure that mandates are carried out in order of priority or in accordance with a cycle of work agreed upon.

49. In the current programme setting, an area for maximizing the existing resource potential may be the relationship between the institutes comprising the United Nations Crime Prevention and Criminal Justice Programme network especially in the area of technical cooperation, i.e. project development and implementation and related resource mobilization. Efforts should go beyond the current sharing of information on work in progress to division of labour and "piggybacking" for purposes of project elaboration and coordination and the reciprocal inclusion of elaborated projects in presentations to potential donors. As already stated, however, any serious effort in this direction carries with it its own resource requirements for the necessary preparatory work and communication in terms of planning, as well as an appropriate number of meetings, follow-up, monitoring and evaluation in terms of implementation. It also requires joint training and human-resource development to foster common values and methods. Finally, it requires the agreement of all programme components involved and their respective governing bodies.

50. Beyond that, it should be remembered that the institutes were created with extrabudgetary funds largely in response to the impossibility of obtaining the General Assembly's approval for regional programme coverage under the regular budget.[7] Their resources naturally tend to be devoted to activities that have regional rather than global significance and are of interest to their donors.

51. At the same time, the impact of programme activities has to be analysed, as discussed in section II. C above. The Secretariat should be in a position to inform Member States and other donors about the relative impact of the activities undertaken by the different programme components in order to facilitate decisions on relative priorities at different points in time.

52. Member States, on the other hand, should indicate clearly the Programme's priorities or cycle of work and bring mandates into line with resources. Without additional resources, this process may involve reformulation, phasing or even cancellation of certain activities related to mandates which may be considered obsolete. The difficulty of trying to do the latter is fully appreciated. However, failure to establish a certain hierarchy among mandates would unjustifiably perpetuate the long-standing situation of continually trying to do too much with too little.

2. Generation of additional resources

53. Generation of additional programme resources has to be pursued on the basis of programme needs and strengths in an effort to achieve a more appropriate match between mandates and resources. Specified needs or mandates and successfully completed activities should normally stimulate continuation of effort and expansion of volume or scope of activities with sufficient resources to undertake them. In this process, the Secretariat must find better ways of publicizing its strengths and successes. Member States must accept that additional mandates require additional resources unless existing mandates are cancelled, and that a shortage of resources cannot be compensated by voluntary staff overtime or depend on last-minute arrangements made possible through the generous support of interested Governments.

54. To say this is not to deny the recent strengthening of the Programme through the provision of two P-3 posts. The Director-General of the United Nations Office at Vienna has also sought to reinforce the Programme's resources by providing two senior-level posts from his office (one D-1 and one P-5) in exchange for lower-level posts from the Programme (one P-4 and one P-3). It is proposed to regularize these exchanges in the next programme budget. A principal-level General Service post from the Office of the Director-General has also been temporarily provided to the Programme in exchange for a lower-level General Service post. However, as a result of the 1996 cost-saving exercise, recruitment against one of the two new posts was not

completed until February 1997 and was still in progress against the other at the time of writing, the hope being to fill it shortly. The cost-saving exercise resulted altogether in the freezing of 51 work-months for professional and 16 work-months for general service staff.

55. The additional work generated by the recent cost-saving exercise, the efficiency review and similar administrative activities diverted staff resources from substantive activities. The net result of the effects of the cost-saving measures and the additional administrative workload was a reduction of resources available for substantive work during the biennium 1996-1997 as compared to the previous period. It should be noted, however, that these losses were compensated in large part by unpaid staff overtime, a situation that is untenable on a regular basis. In this connection, the valuable assistance provided by associate experts is acknowledged and appreciation expressed to their respective sponsoring Governments.

56. The discrepancy between mandates and resources is particularly acute in the area of technical cooperation. Given standing mandates and heavy reporting requirements for the Commission's annual sessions, elaboration of project proposals on the basis of needs assessments by the two interregional advisers has been possible only due to the availability of associate experts and consultants paid by their respective Governments and regular unpaid overtime on the part of staff. If the further operationalization of the Programme is to become a reality, additional resources are required for general project development, coordination and monitoring, as well as for actual project implementation, as indicated in the report on the work of the informal consultative group on resource mobilization (E/CN.15/1997/CRP.1).

57. To date, most programme resources have been made available by the Governments of Member States through the regular budget, via funding agencies and in the form of voluntary contributions. Given the considerable and increasing involvement of non-governmental organizations in the Programme and the relevance of a growing number of programme activities to the private sector, including non-governmental organizations, the professional community and universities, efforts should be made by the Secretariat and Member States to explore and tap private funding sources. Additional staff and travel resources will be required for any serious and systematic effort in this area.

3. United Nations reform

58. The United Nations reform efforts currently under way may offer an opportunity to deal with the Programme's mandates and resources from a macrocosmic perspective and in the context of refocusing the work of the Organization on its central objectives. As noted above, crime prevention and criminal justice has been identified by the General Assembly as one of eight priority programmes in the medium-term plan for the period 1998-2001, although it remains to be seen how this will be translated into concrete plans.

59. At the time of writing, a broad definition has already been introduced of the main sectors of work in which the Organization is engaged - peace and security, development operations, economic and social affairs, and humanitarian affairs. In addition, a managerial process has been initiated involving the grouping of United Nations departments, programmes and funds in accordance with these sector groups. The United Nations Crime Prevention and Criminal Justice Programme has links with all four of them:

(a) In the statement of principles and programme of action of the United Nations Crime Prevention and Criminal Justice Programme (General Assembly resolution 46/152, annex), Member States recognize (para. 7) that democracy and a better quality of life can flourish only in a context of peace and security for all. The role of crime prevention and criminal justice is essential as a guardian of peace, enforcer of the rule of law, guarantor of human rights protection, and custodian of democracy. The Programme is mandated to devote greater attention to requests from Governments, including those channelled through United Nations peace-keeping operations, to identify their needs as regards the strengthening of criminal justice systems, drawing on existing United Nations standards and norms;

(b) As a result of the restructuring process culminating in the statement of principles and programme of action, United Nations activities in the field of crime prevention and criminal justice have been reoriented to concentrate on operational activities. Their purposes are to help the international community meet its pressing needs in this field and to provide States with timely and practical assistance in dealing with problems of both national and transnational crime. This new orientation has placed the Programme in the mainstream of United Nations work in the area of development operations. In accordance with Commission resolution 5/3, a mechanism for resource mobilization was established to assist the Commission in exercising more vigorously its mandated functions of resource mobilization (see paras. 3-4 above). This places the Programme even closer to the activities undertaken by international funding agencies, resulting in fruitful cooperation and joint activities;

(c) The linkages of crime prevention and criminal justice with economic and social matters have been the focus of the Programme for many years. While the Eighth United Nations Congress on the Prevention of Crime and the Treatment of Offenders (Havana, 1990) continued to consider crime prevention and criminal justice in the context of development, it also sanctioned the Programme's shift towards transnational crime and activities of a more operational nature. Further impetus in this direction was provided by the Ministerial Meeting on the Creation of an Effective United Nations Crime Prevention and Criminal Justice Programme (Paris, 1991), which adopted the statement of principles and programme of action;

(d) The work of the United Nations in the field of crime prevention and criminal justice is not only directly relevant to but also essential for the work of other programmes dealing with humanitarian assistance. This is particularly the case with regard to issues such as organized international trafficking in migrants; violence against refugees, asylum-seekers and displaced persons; and victims' rights.

E. Internal management

60. Over the last few years, the Programme's focus has gradually shifted from primarily providing parliamentary services and developing standards and norms to undertaking more operational activities. Simultaneously, there has been some increase in staff, and as of 1 January 1996 the Crime Prevention and Criminal Justice Branch has been upgraded to a Division. Such changes require the review of internal organizational arrangements and the reorientation and training of staff. Staff have been grouped in functional teams that were formalized in two sections and two units in 1996. To the extent possible, staff assignments have been adjusted in accordance with the changing needs. Assignments are reflected in the work plan of the newly instituted performance appraisal system (PAS) and are reviewed at least twice a year.

61. In November 1996, a two-day management seminar was organized for the professional staff of the Crime Prevention and Criminal Justice Division. The seminar reviewed the Division's mission and challenges and provided some insight into management and communication mechanisms designed to ensure successful teamwork under changing circumstances. A half-day joint segment for senior staff of the Crime Prevention and Criminal Justice Division and the United Nations International Drug Control Programme addressed issues of effective cooperation. There was general agreement among the participants that both seminar segments facilitated the beginning of a necessary process of change and adjustment for staff and management which would require follow-up both internally and using outside expertise.

62. The seminar facilitator concluded that the Crime Prevention and Criminal Justice Division was significantly under-resourced to meet its mandates. He feared that the Division ran the risk of falling into disrepute as the gap between demands on it and its supply of resources increased. Without a significant increase in its staffing, mandates should surely be cut back or clearly prioritized. Existing staff resources should be reorganized accordingly and training be provided as appropriate.

63. Subsequently, the seminar contents and results were reviewed and developed with all staff members in several staff meetings. Related training requests have been submitted to the administration for 1997. The present office structure is being reconsidered with a view to achieving a better balance between parliamentary and operational services, while making optimal use of available staff resources.

III. ACTION REQUIRED BY THE COMMISSION

64. The inter-sessional activities of the Commission and the Secretariat referred to or described in the present report seem to support two main conclusions. They have deepened the Commission's involvement in the strategic management of the United Nations Crime Prevention and Criminal Justice Programme through regular interaction and resource mobilization efforts. They also have drawn renewed attention to the serious discrepancy between the Programme's mandates and its resources. In the light of the specific issues raised in the report, the Commission may wish to:

(a) Review the programme of work for the biennium 1998-1999 and address the question of providing sufficient resources for its implementation;

(b) Decide that the informal consultative group on resource mobilization may also serve as the mechanism envisaged in paragraph 15 of Commission resolution 5/2;

(c) Consider conducting an independent review of the Programme's mandates and the adequacy of its resources;

(d) Provide guidance on maximizing the Programme's existing resource potential and on resource mobilization;

(e) Provide further guidance regarding the proposals for streamlining the Commission's agenda in accordance with paragraph 21 above;

(f) Provide guidance regarding the proposals for criteria to be applied in the measurement of the impact of the activities of the Programme.

Notes

[1]See the statement of principles and programme of action of the United Nations Crime Prevention and Criminal Justice Programme, annexed to General Assembly resolution 46/152 of 18 December 1991.

[2]For details on the outcome of the consultations, see the report of the Secretary-General on technical cooperation and coordination of activities (E/CN.15/1997/17).

[3]See A/51/16 (Part II), para. 139.

[4] *Evaluation Bulletin*, No. 3 (Spring 1993).

[5]See E/CN.15/1996/16 and Add.1-4.

[6]See UNDP, *Programme and Projects Manual*, Rev. O 30200 (May 1991), p. 27.

[7]As noted in the report of the Secretary-General on funding of regional institutes from the regular budget of the United Nations (A/C.5/50/33, paras. 19-24), the United Nations African Institute for the Prevention of Crime and the Treatment of Offenders has received some regular budget funds in recent years.

*Annex**

UNITED NATIONS OFFICE AT VIENNA **OFFICE DES NATIONS UNIES A VIENNE**

Crime Prevention and Criminal Justice Division

Evaluation Questionnaire

In order to assist the Crime Prevention and Criminal Justice Division with improving its activities, we should be grateful if you could reply to the following questions frankly. Please feel free to add any comments you deem appropriate.

1. What is your overall impression of the conference ?

16	15	14	13	12	11	10	9	8	7	6	5	4	3	2	1

(Please mark the corresponding box with an X)

2. Do you think the conference was useful for your work ?

Yes Partially No

16	15	14	13	12	11	10	9	8	7	6	5	4	3	2	1

(Please mark the corresponding box with an X)

3. Were the conference objectives met ?

Fully Mostly Partially To a limited degree Not at all

16	15	14	13	12	11	10	9	8	7	6	5	4	3	2	1

(Please mark the corresponding box with an X)

4. Were you satisfied with the conference content ?

Fully Mostly Partially To a limited degree Not at all

16	15	14	13	12	11	10	9	8	7	6	5	4	3	2	1

(Please mark the corresponding box with an X)

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*Not formally edited.

5. How would you rate the materials made available ?

Very Good					Good				Fair						Insufficient
16	15	14	13	12	11	10	9	8	7	6	5	4	3	2	1

(Please mark the corresponding box with an X)

6. Were you satisfied with the services provided by the Secretariat ?

Fully			Mostly		Partially		To a limited degree						Not at all		
16	15	14	13	12	11	10	9	8	7	6	5	4	3	2	1

(Please mark the corresponding box with an X)

7. Were you satisfied with the administrative arrangements ?

Fully			Mostly		Partially		To a limited degree						Not at all		
16	15	14	13	12	11	10	9	8	7	6	5	4	3	2	1

(Please mark the corresponding box with an X)

8. Do you have any suggestions for future activities of this nature ?

_____

_____

9. What other comments or suggestions would you like to offer ?

_____

_____

_____

_____

_____

_____

Name (optional): _____